

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

11017-0003

In Re Application Of: Manuel BARBOSA

JAN 08 2004

Serial No.

09/988,193

Filing Date

11/19/2001

Examiner

NGUYEN

Group Art Unit

3683

Title: DRUM BRAKE BACKING PLATE

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☒ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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In Re Application: Manuel BARBOSA

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DRUM BRAKE BACKING PLATE

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1088 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

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I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.



Signature

Dated: JANUARY 8, 2004

CONRAD J. CLARK, REG. NO. 30,340

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CC:

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
11017-0003

In Re Application Of: **Manuel BARBOSA**

JAN 08 2004

Serial No.  
09/988,193

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11/19/2001

Examiner  
NGUYEN

Group Art Unit  
3683

Invention: **DRUM BRAKE BACKING PLATE**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☒ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☐ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

*Conrad Clark*

Signature

Dated: JANUARY 8, 2004

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FORM PTO-1449

Attorney Docket: 11017-0003

Serial No.: 09/988,193

INFORMATION DISCLOSURE  
CITATION

Applicant: Manuel BARBOSA

Filing Date: 11/19/2001

Group: 3683

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub- Class	Filing Date

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Sub- Class	Translation Yes   No
	DE4203173	08/20/1992	GERMANY			X
	03244837	10/31/1991	EPO (abstract only)			X
	GB2346421	08/09/2000	UK			X
	EP1197323	04/17/2002	EPO			X
	57144319	09/06/1982	EPO (abstract only)			X

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)


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GROUP 3600

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.